Skills Funding Agency

Batch Validation Tool User Guide

Learning Records Service

August 2013

Audience: Learner Registration Bodies (LRBs) and Awarding Organisations (AOs).

Skills Funding Agency

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1. Introduction

This document describes how to use the Learning Records Service (LRS) Batch Validation Tool. The tool is designed to be installed locally on your desktop PC or used independently.

This document assumes that you have already read the LRS Batch Validation Tool installation guide which can be found on the website.

2. Overview

The Validation Tool has been designed to check both ULN and achievement batch files prior to uploading them to the LRS Organisation Portal.

The tool enables users to import Comma Separated Values (CSV), Extensible Markup Language (XML) or Microsoft (MS) Excel format files and check the data against the LRS validation rules and data formats.

The tool then outputs a list of validation errors which enable Learning Records Service (LRS) to identify any data errors in the file and to correct them, prior to uploading the data to LRS. The validation tool also outputs a valid CSV or XML format file when the input file is in Excel format or is structurally incorrect.

3. Using the Validation Tool

3.1 Getting Started

To launch the LRS Learner Batch Validation tool, double click the icon on your desktop as shown in (Figure 1).

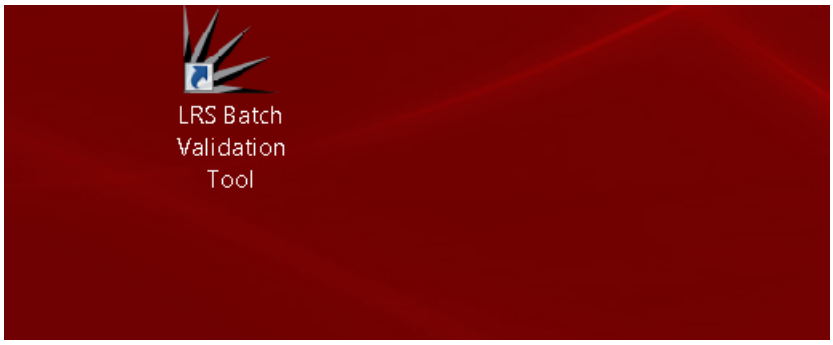

Figure 1

The Disclaimer screen is displayed every time the tool is launched (Figure 2). Read the disclaimer text and click on Agree to open the tool or Disagree to exit the tool.

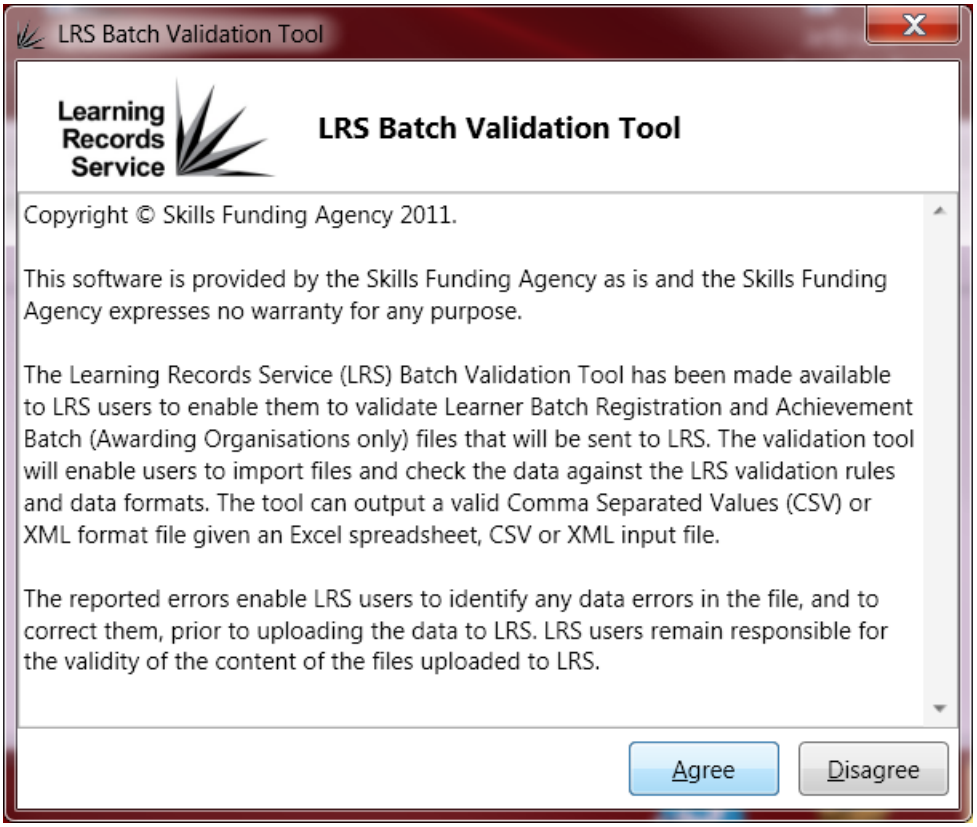

Figure 2

3.2 Validate LRB Batch File

To validate a LRB Batch Registration file, follow these steps:

a. Ensure that the 'Learner batch file' radio button is selected (Figure 3);

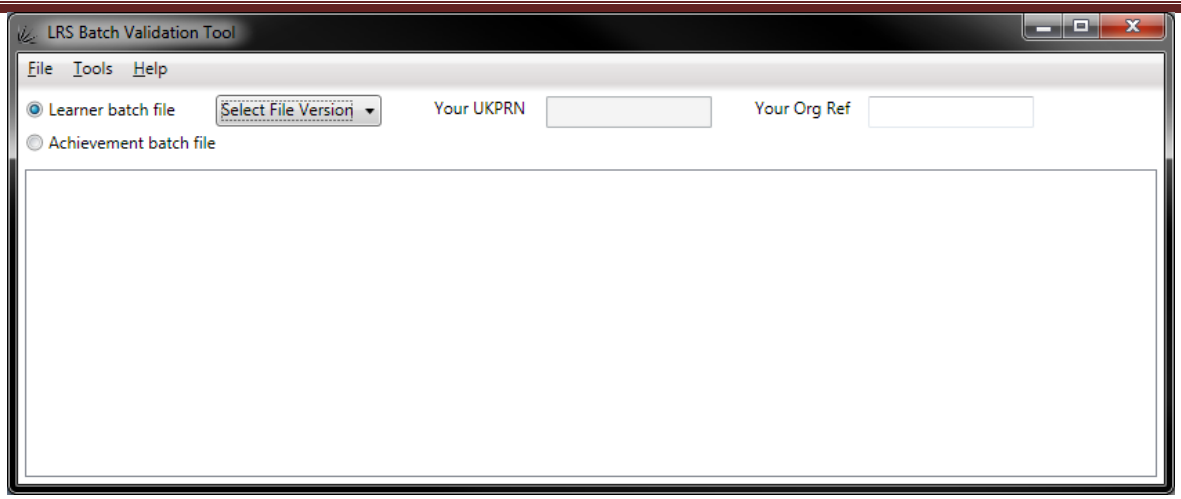

Figure 3

b. Select File Version (1A, 1B, 2A, etc.) of the input batch file. This is available in the file which is being validated (2A is the latest version used);

c. Enter your UKPRN/Org Ref;

d. Click on File > Select batch file (Figure 4) to open the Windows open file dialog (Figure 5);

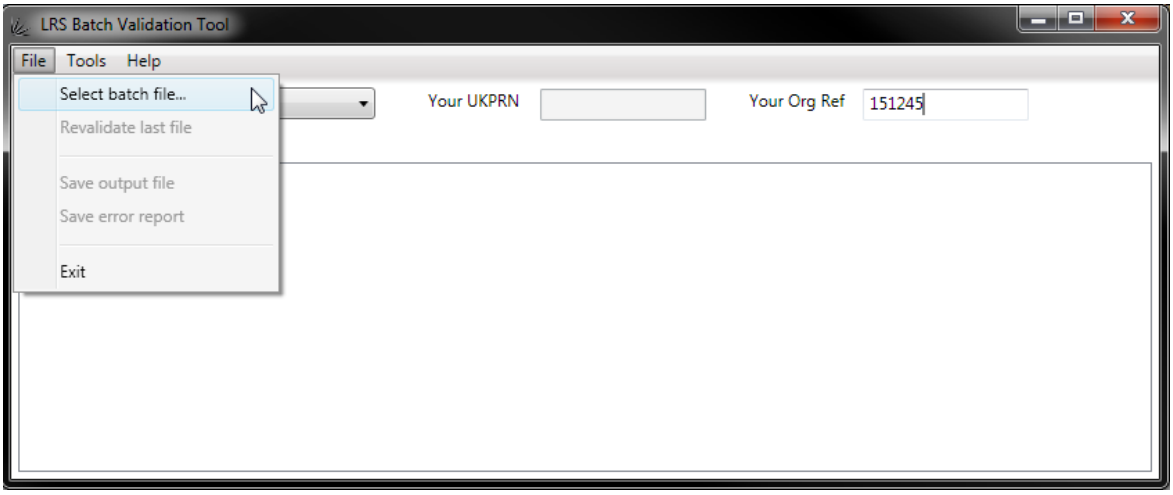

Figure 4

e. Select a file type from CSV, XML, XLS or XLSX (figure 5)

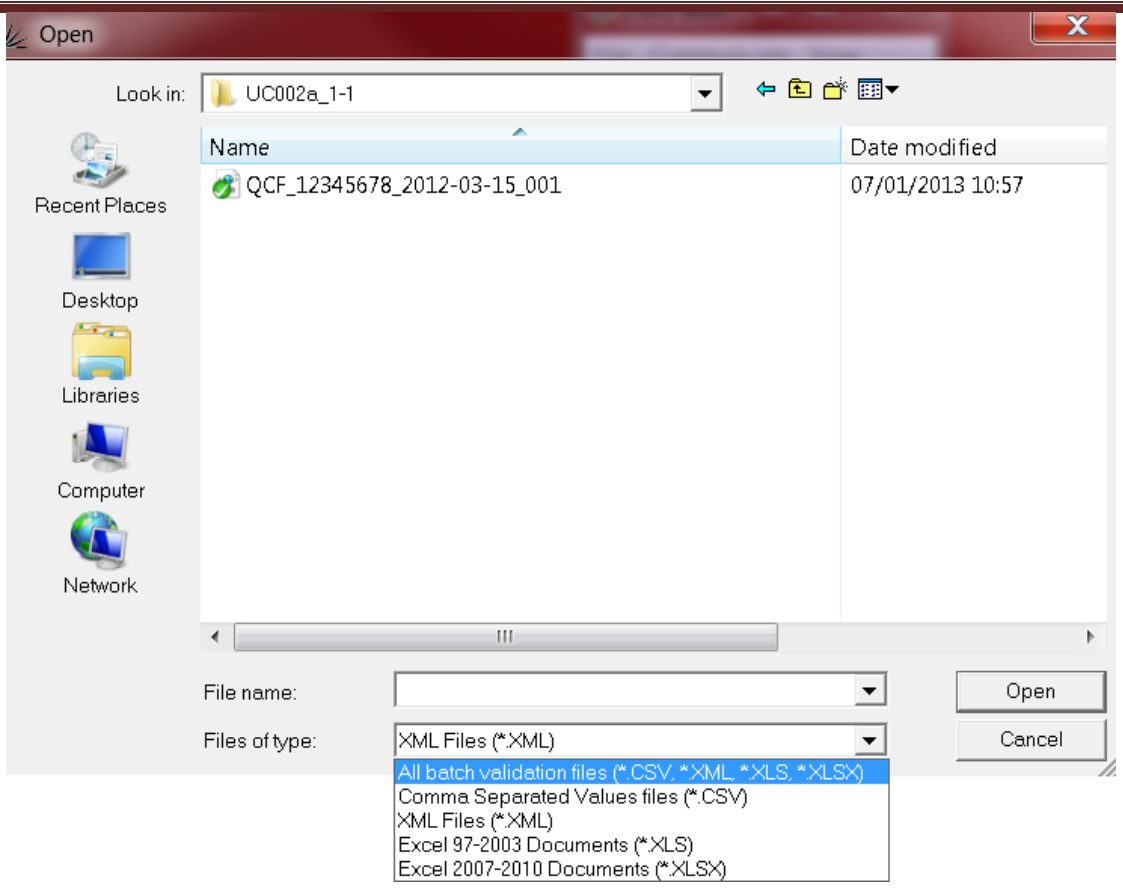

Figure 5

f. Browse to the folder containing the batch file;

g. Select file to open;

h. If the input batch file is in MS Excel format, select the output file extension on the File Type Selection dialog (Figure 6) and click OK;

- If you encounter an **error message** – The 'Microsoft.ACE.OLEDB.12.0' provider is not registered on the local machine – download and install Microsoft Access database engine from this link. For details on how to install this engine, please refer to the Installation Guide.

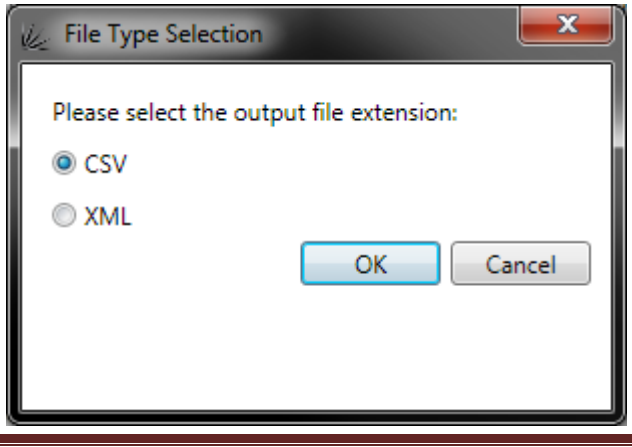

Figure 6

i. The tool validates the input batch file, and

- Displays 'Validation was successful - no error found.' message when file validation is successful.
- Displays the list of validation errors, if any**Error! Reference source not found.** (Figure 7)
- Offers to save the output file with potential corrections (Figure 8). Click on Yes to save the updated batch file to disk, or No to cancel saving. The tool saves the output file with a valid file name conforming to the batch file specification.
- Displays error message (Figure 9) when the tool is unable to correct any validation errors.

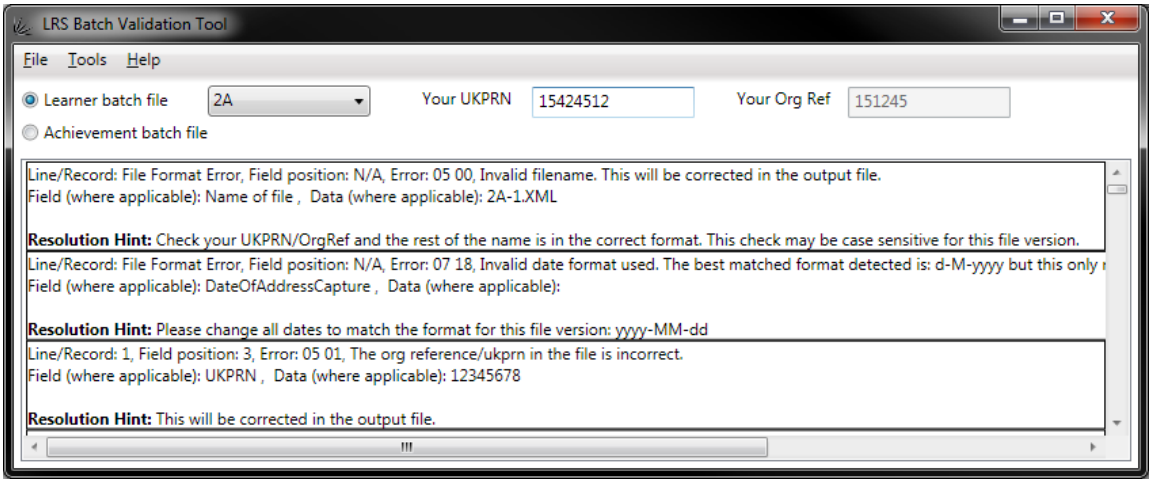

Figure 7

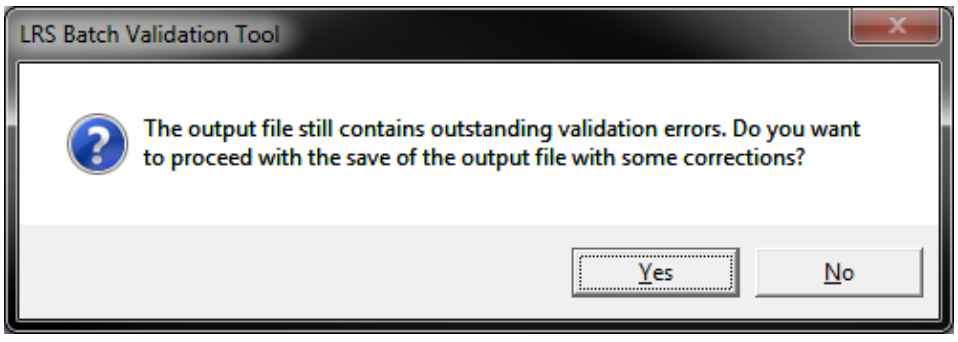

Figure 8

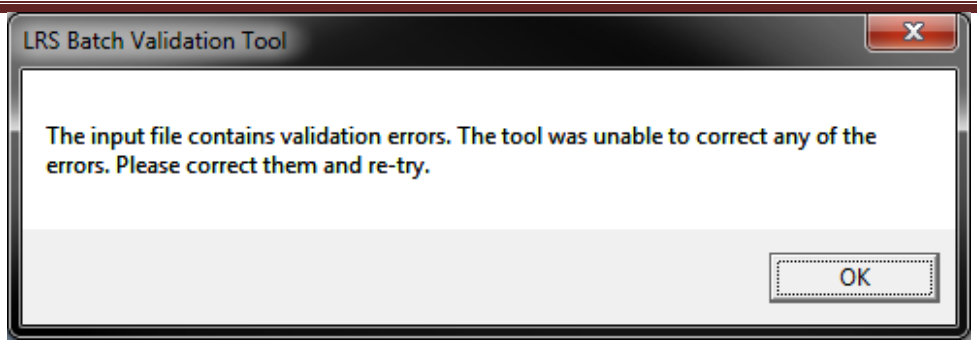

Figure 9

3.3 Validate AO Achievement Batch File

To validate an Achievement Batch file, follow these steps:

a. Ensure that the 'Achievement batch file' radio button is selected (Figure 10);

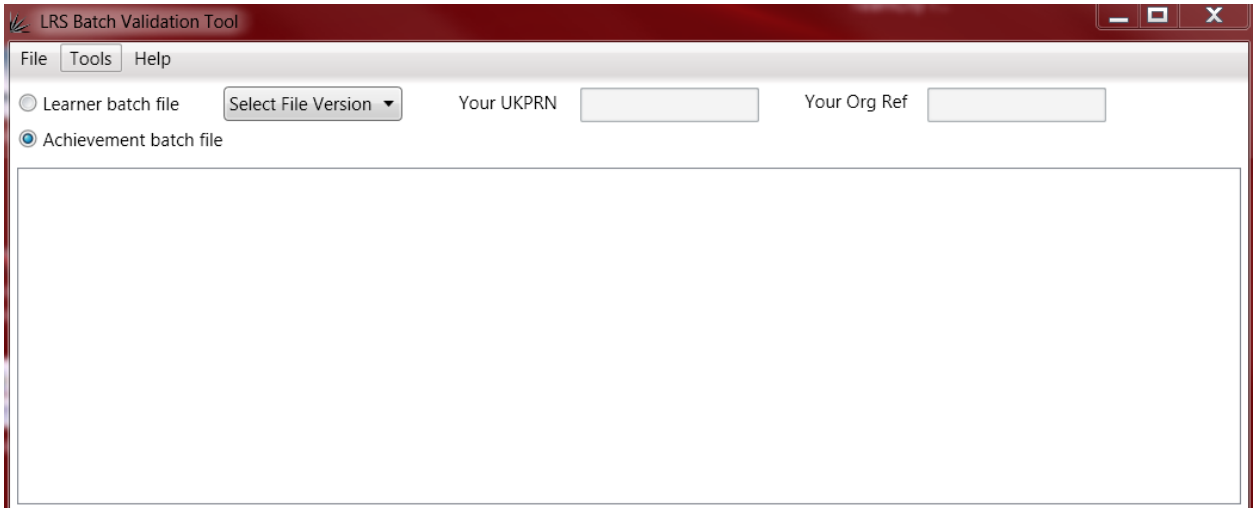

Figure 10

b. Select an appropriate File version. The version 2 batch files were introduced in Release 9 re: Submit Achievement Batch (Figure 11).

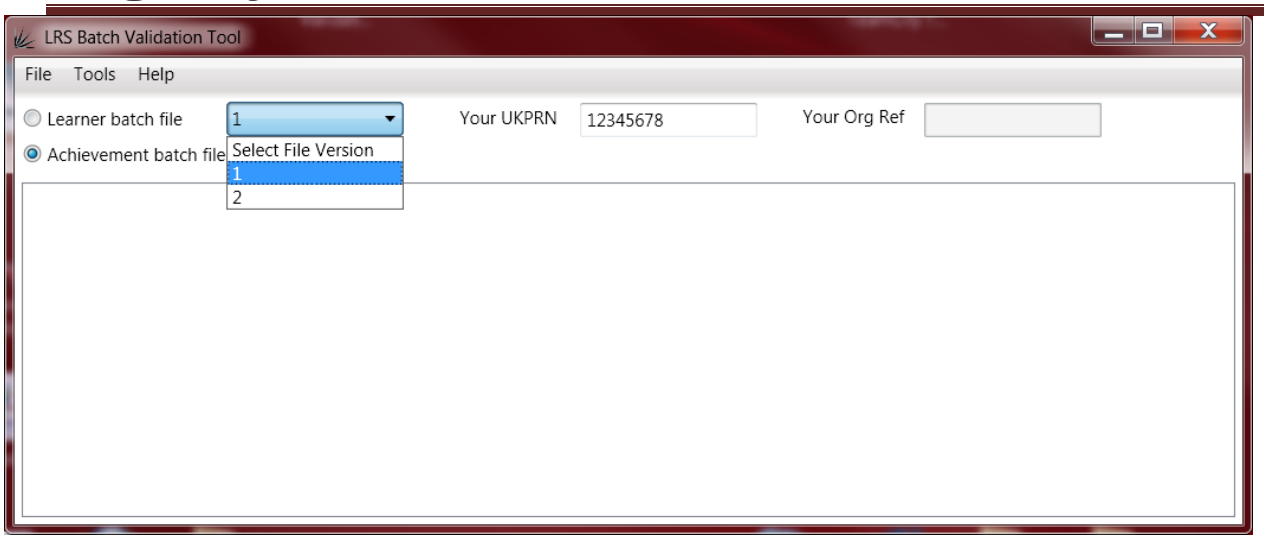

Figure 11

c. Enter your UKPRN (Figure 12);

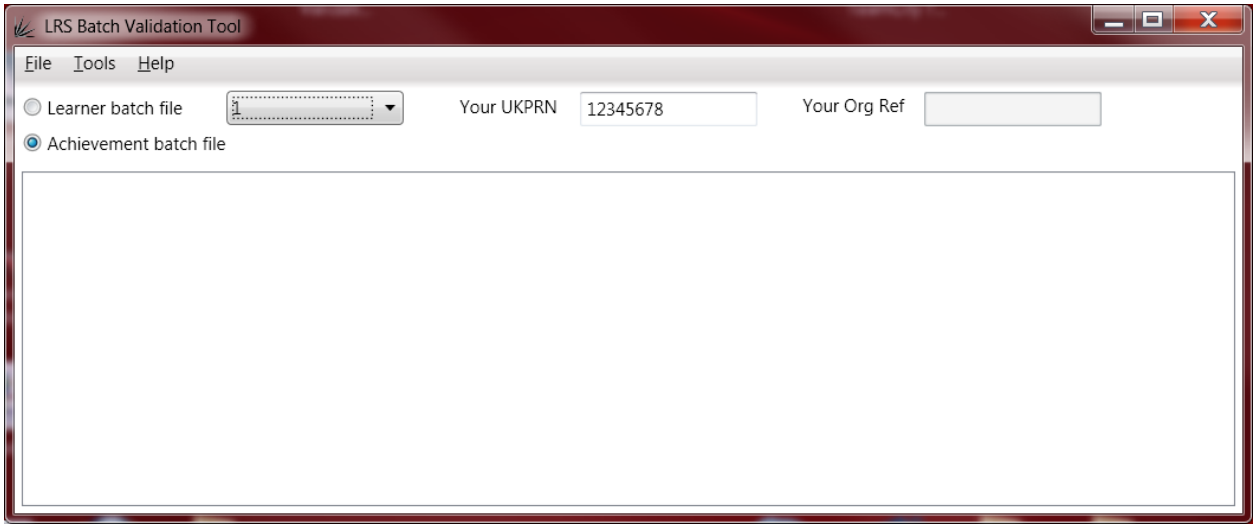

Figure 12

d. Click on File > Select batch file (figure 13) to open the Windows open file dialog (Figure 5);

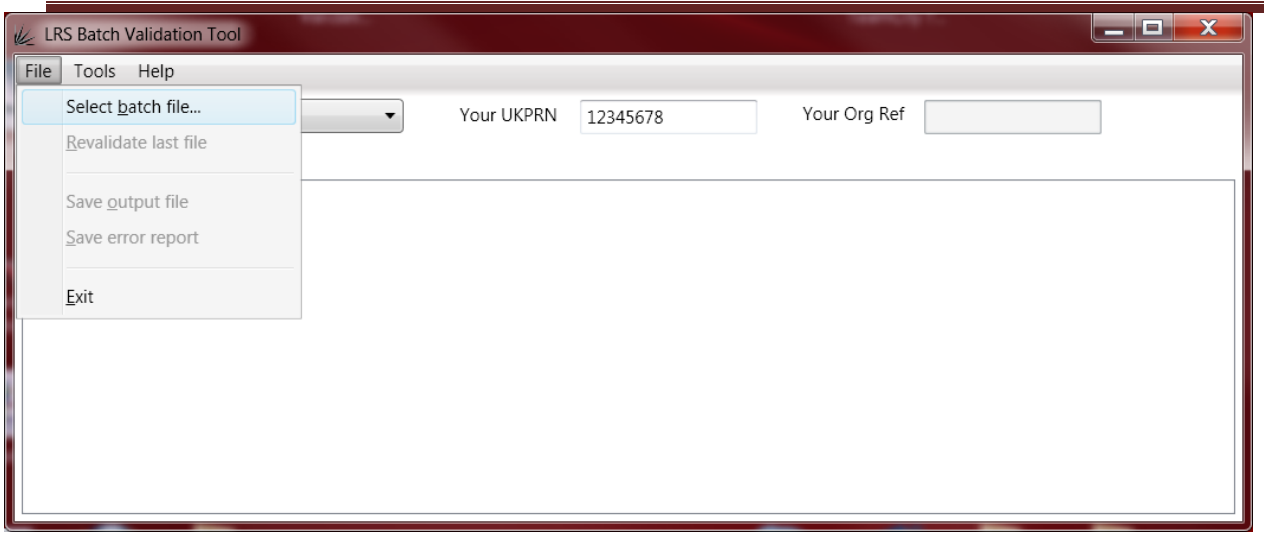

Figure 13

e. Select a file type from CSV, XML, XLS or XLSX (Figure 14)

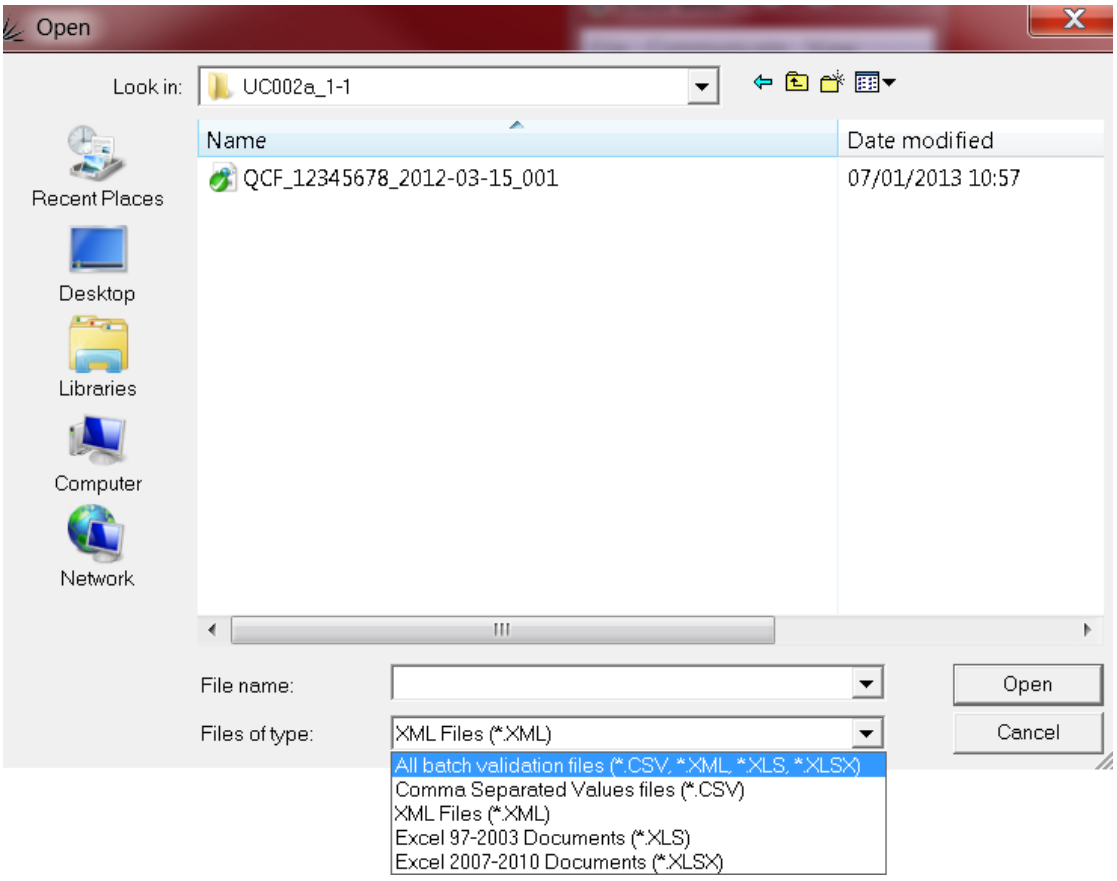

Figure 14

f. Browse to the folder containing the batch file;

g. Select file to open;

h. If the input batch file is in MS Excel format, select the output file extension on the File Type Selection dialog (Figure 15) and click OK;

- If you encounter an error message – The 'Microsoft.ACE.OLEDB.12.0' provider is not registered on the local machine – download and install Microsoft Access database engine from this link. For details on how to install this engine, please refer to the Installation Guide.

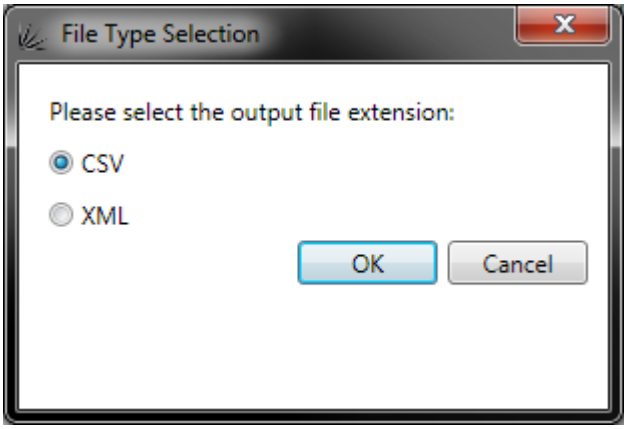

Figure 15

i. The tool validates the input batch file, and

- The tool displays 'Validation was successful - no error found.' message when file validation is successful.
- Displays the list of validation errors, if any if any**Error! Reference source not found.** (Figure 16).
- Offers to save the output file with potential corrections (Figure 17). Click on Yes to save the updated batch file to disk, or No to cancel saving. The tool saves the output file with a valid file name conforming to the batch file specification.
- Displays error message (Figure 18) when the tool is unable to correct any validation errors.

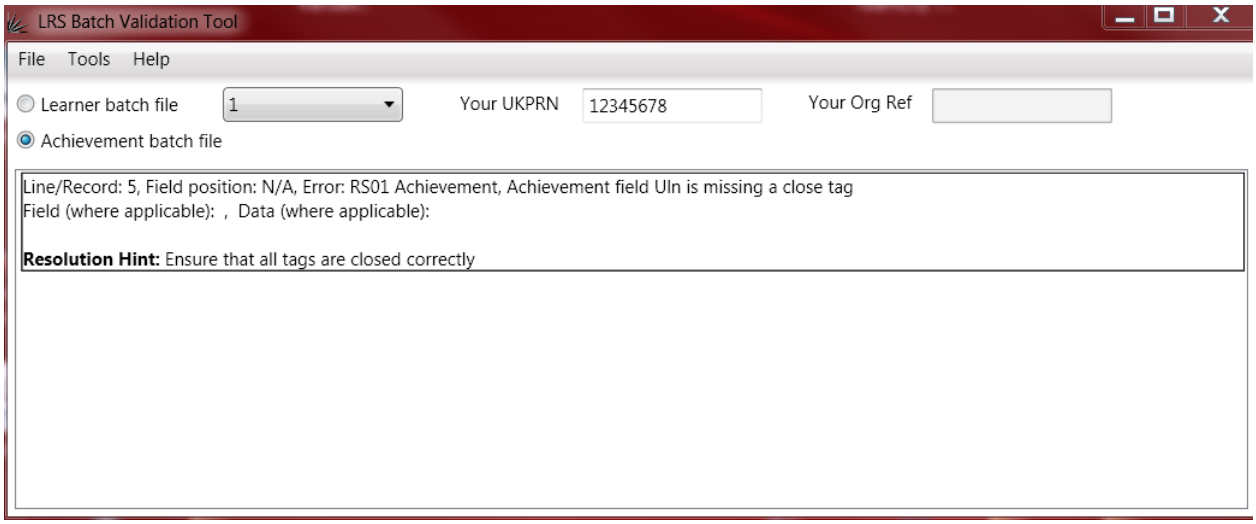

Figure 16

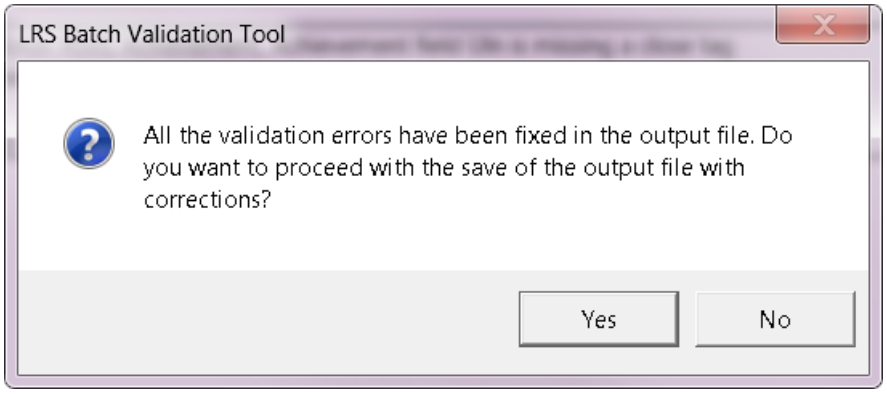

Figure 17

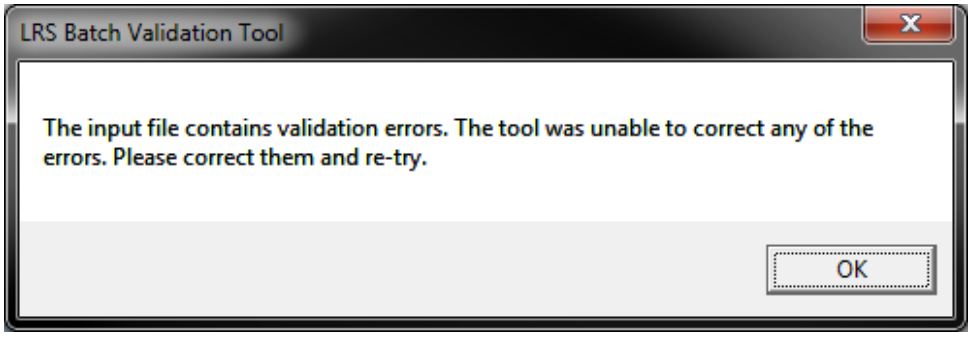

Figure 18

4. Additional Process Functionality

This section is applicable to both Learner Registration Bodies (LRBs) and Awarding Organisations (AOs).

4.1Cancel the validation process

During validation, you have the option to cancel the process by clicking the Cancel button next to the progress bar as shown in Figure 19/20.

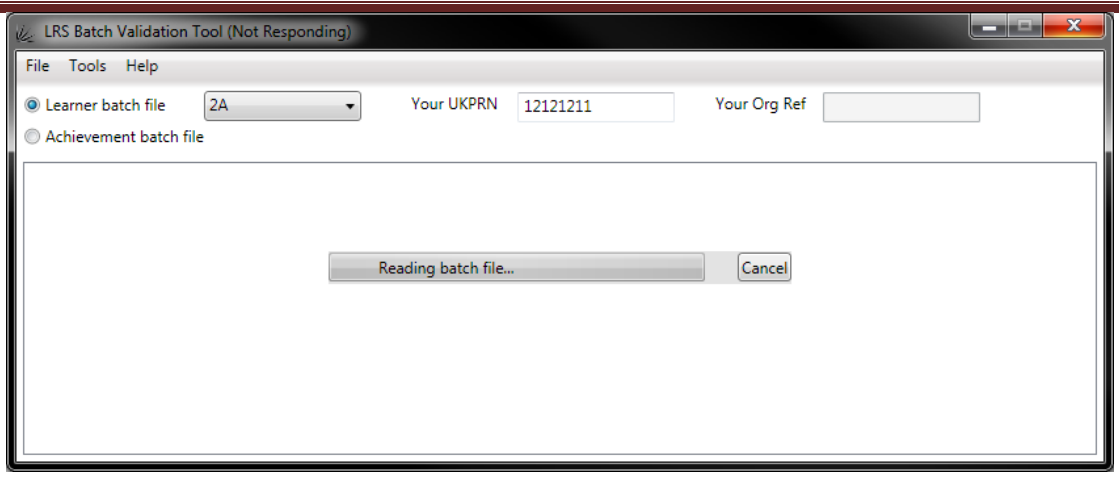

Figure 19 (LRB)

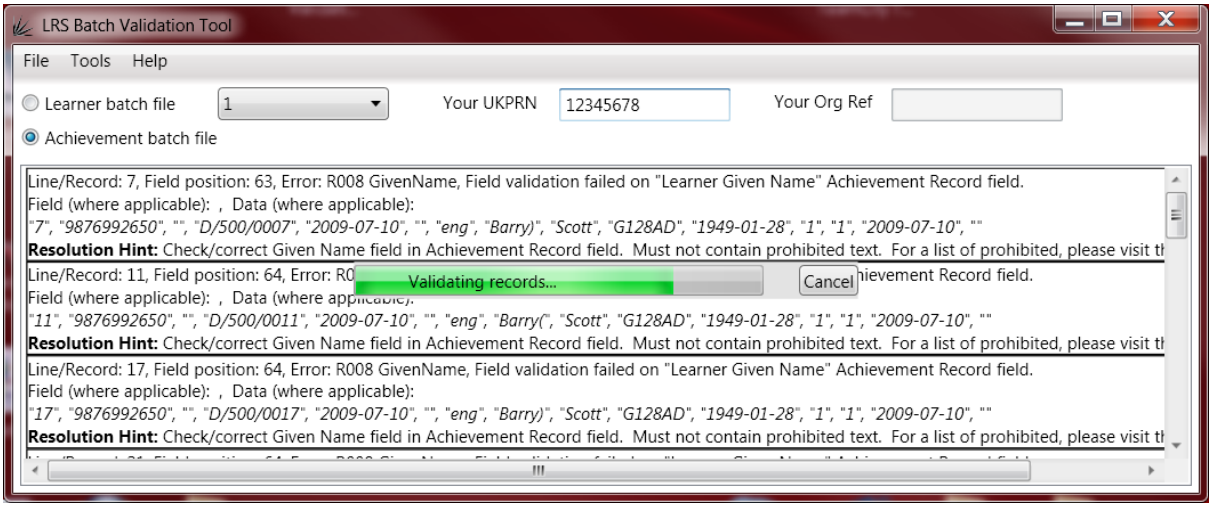

Figure 20 (Awarding Organisation)

After clicking cancel, you will receive a message confirming the process was successfully cancelled (Figure 21) and you will be returned to the main screen. Any validation errors encountered before you cancelled the task will still be displayed.

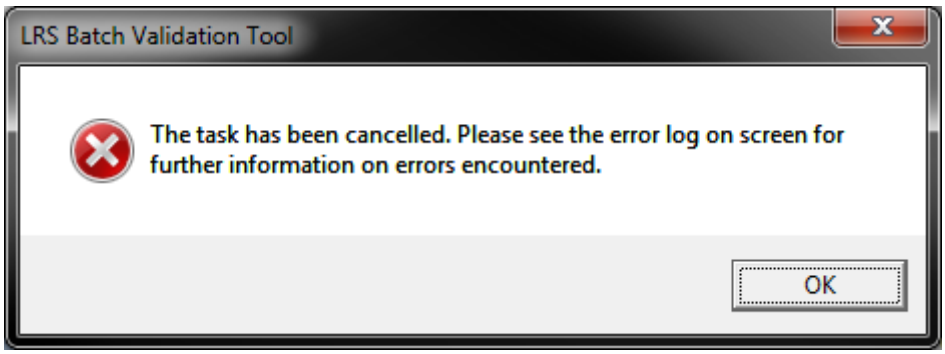

Figure 101

4.2 File format errors

During validation, the first thing the Validation tool checks for are formatting issues. If a file format issue is encountered, the Validation tool will display one of two messages;

I. Validation will not be able to continue. The same error message will be displayed as shown in figure 21. For the validation process to complete, you must correct any file format errors encountered and choose to revalidate the file see section 5.3. Or

II. Alternatively the tool will automatically fix the errors and create an output file as shown in figure 13. For the validation process to complete, click 'Yes' and select an appropriate file location to save the corrected file .choose to revalidate the save file.

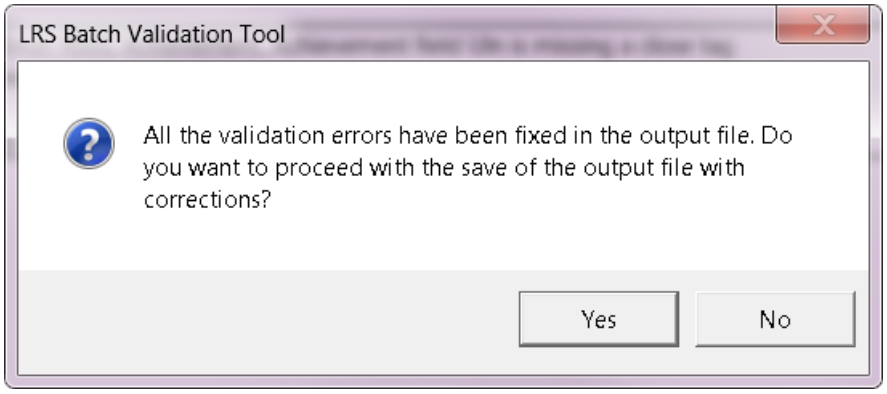

Figure 13

4.3 Revalidate batch file

Once a Batch File is validated against the LRS validation rules and an error list is produced, the next step is to correct the errors identified and revalidate the file;

- Select File
- Revalidate last file menu option to validate the updated file (Figure 14).

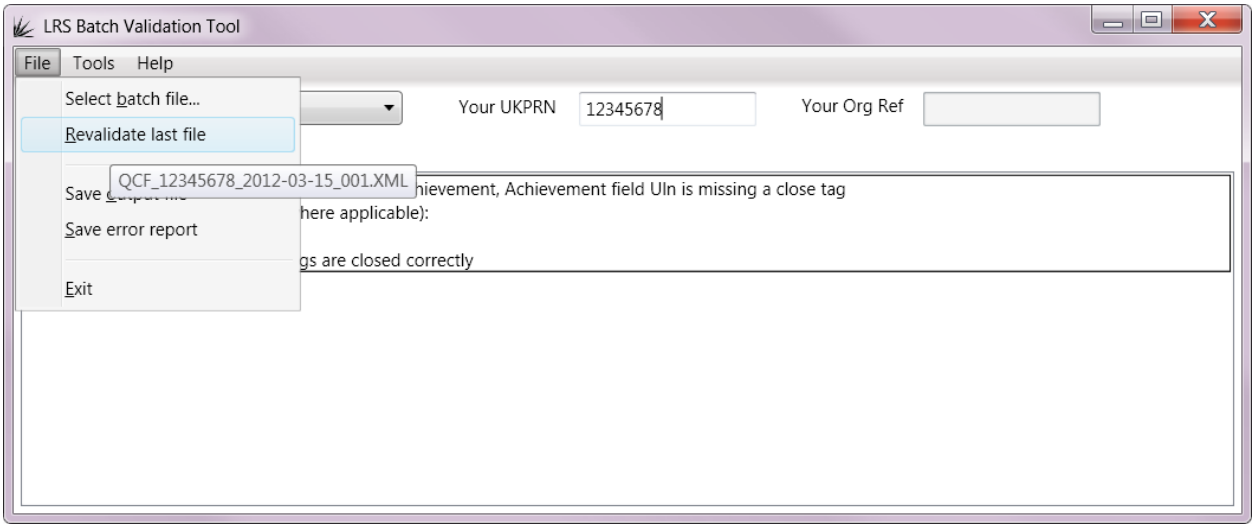

Figure 14

4.4 Save output file

Select File > Save output file menu option to save the output file with potential corrections after validation process is complete. The tool displays a save dialog box with an option to save output file as type .CSV or .XML. Select a location on your local drive and file type to save the output file.

4.5 Save error report

Select File > Save error report menu option to save the list of validation errors displayed on the screen to a text file. The tool displays a save dialog box (Figure 14). Select a location on your local drive to save the error report.

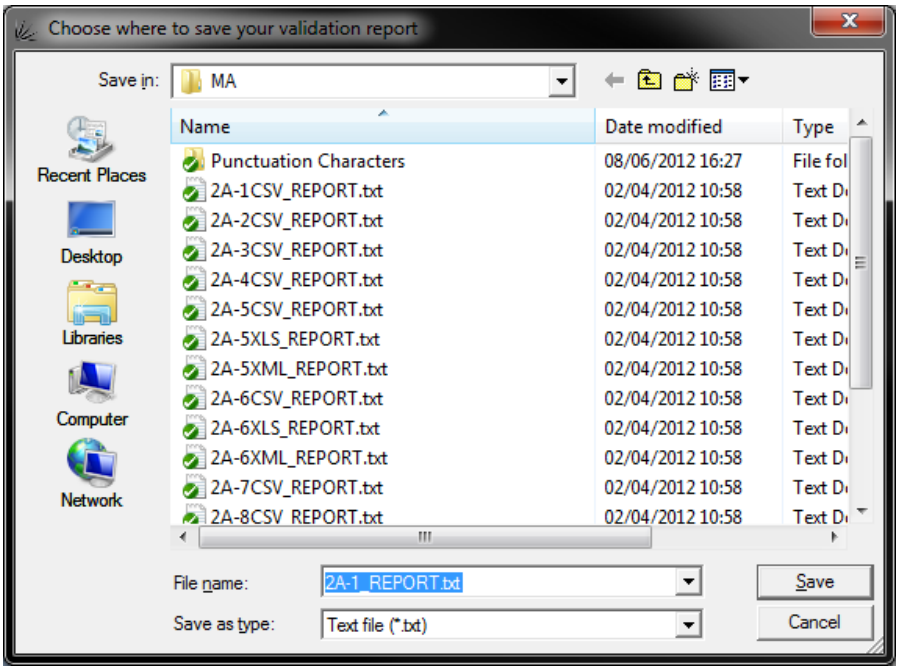

Figure 11

5. Further Support

To raise any queries or for further support and guidance, please contact the LRS Customer Helpdesk on **0845 602 2589** or email lrssupport@learningrecordsservice.org.uk

Appendix A – Learner Batch Error Hints

The table below lists learner batch formatting error codes and hints to help you correct your file before uploading to the LRS Portal

Code	Description
RH01	This will be corrected in the output file.
RH02	This will be added in the output file.
RH03	Supply data for this field.
RH04	Remove the invalid character.
RH05	Provide/remove data for this field.
RH06	Check for invalid characters and check the batch version you are using e.g 1A, 1B or 2A. Note: 2A the latest version.
RH07	Change the data to fall within range. If this invalidates the meaning of the data, remove the record from the file.
RH08	Change the data to match a value within the valid list.
RH09	Input a date in the valid format for this version: yyyy-MM-dd.
RH10	Please change all dates to match the format for this file version yyyy-MM-dd.
RH11	Remove the prohibited value:<UserData>
RH12	Check your UKPRN/OrgRef and the rest of the name is in the correct format. This check may be case sensitive for this file version.
RH13	Check the ULN against the learner record.
RH14	Check the postcode is valid and exists:
RH15	Only submit records where the age is in range.
RH16	Email addresses must contain an '@' symbol, a valid domain e.g. '.com' and must not contain invalid characters.

Appendix B – Achievement Batch Error Codes/Hints

The table below lists achievement batch formatting error codes and hints at 2 levels;

- File/Structure/File Header
- Field Content

Code	Cause	Resolution Hint
RS01	XML has not validated against the Schema.	Check the XML file to ensure it is in the correct format. More information on how to prepare an achievement batch available on the LRS website
RS02	Field validation failed on "Identifier"	Check and correct the identifier in the achievement batch file submitted. System ensures that filename format conforms to a specific convention. the following format: Must be unique. Must conform to the following format: • QCF_ XXXXXXXX _YYYY-MM-DD_nnn.XXX Where: • QCF is a string literal and must be "QCF"; • XXXXXXXX is the Awarding Organisation UKPRN of the submitting Awarding Organisation and should match the UKPRN entered in step 1.0 • YYYY-MM-DD is the date on which the file is submitted; • nnn is a number between 001 and 999; • XXX is "XML" or "CSV" or "XLSX" or "XLS" is the extension the file contains data. File extension is case insensitive.
RS03	Invalid NumberOfRecords.	Check the Number of Records in the header matches the number of records in the file.
RS05	Too many Achievement Records have been rejected according to the threshold set by QCF.	Check & correct Achievement Records for errors. File has been cancelled because the 70% threshold has not been met.

Code	Cause	Resolution Hint
RS06	Invalid Batch Identifier.	Rename Batch Identifier.
RS08	Invalid Email Address format.	Check the email address supplied is valid.
RS09	Invalid Submission Type.	Submission type can be one of either Provisional or Final.
RS10	Invalid Awarding Organisation number in header.	Check and correct Ofqual Recognition (Awarding Organisation) number in the header.
RS11	Invalid header field count.	Check that the header contains only *N* fields.
RS12	Invalid XML Header, header should contain 4-6 fields: (No of Records),(AO Ofqual Recognition No),,(Email (optional)) and (Submission Type; Final/Provisional (optional)).	Check that the header contains only 4-6 fields.

Field Validation

Code	Cause	Resolution Hint
R001	Field validation failed on "ULN" Achievement Record field.	Check/correct ULN provided in Achievement Record field. Must adhere to 10 digit string and a specific set of rules; • First digit is not 0 • Constant strings do not occur i.e 1111111111
R002	Field validation failed on "Provider UKPRN" Achievement Record field.	Check/correct UKPRN provided Must adhere to 8 digit string.
R004	Field validation failed on 'Unit or Qualification Reference Number (QAN)' Achievement Record field.	Check/correct Unit or Qualification Reference Number provided in Achievement record. Must be less than or equal to 10 characters and adhere to the QAN and Unit structure; Unit; A/XXX/9525 QAN: 500/5979/8
R005	Field validation failed on "AchievementAwardDate" Achievement Record field.	Check/correct Achievement Award Date provided is valid. Must be standard yyy-mm-dd. Must be equal to or after 2006-01-01. Note: This will be corrected in the output file where possible
R006	Field validation failed on 'Grade' Achievement Record field. (Free text field)	Check the field does not contain prohibited text. Must be less than or equal to 20 characters.
R007	Field validation failed on 'Language for Assessment' Achievement Record field.	Check/correct Language for Assessment. Must be between 3 and 6 characters in lowercase. Must be a valid ISO 639-2 value; (http://www.loc.gov/standards/iso639-2/php/code_list.php)..

Code	Cause	Resolution Hint
R008	Field validation failed on "GivenName" Achievement Record field.	Check/correct Given Name field. Max 35 characters. Must not contain prohibited text (see below)
R009	Field validation failed on "FamilyName" Achievement Record field.	Check/correct Family Name field. Max 35 characters. Must not contain prohibited text (see below).
R010	Field validation failed on "LearnerPostCode" Achievement Record field. **(optional)**	Check/correct Learner postcode. Must not be prohibited postcode (contact the LRS helpdesk)
R011	Field validation failed on "DateOfBirth" Achievement Record field.	Check/correct date of birth; Date must be standard “yyyy-mm-dd” date; Note: this will be corrected by the system in the output file . Learner must be equal to or greater than 11 or less than 110 years old.
R012	Field validation failed on "Gender" Achievement Record field.	Check/correct Gender field in Achievement Record field; 0 = Unknown 1 = Male 2 = Female 9 = Not determined.
R013	Field validation failed on "Action" Achievement Record field.	Check/correct Action field in Achievement Record field; .1 = Create 2= Update 3 = Withdraw 4 = Reinstate
R014	Field validation failed on "ActionDate" Achievement Record field.	Check Achievement Action Date matches Achievement Award Date. Alternatively check; Date must be standard “yyyy-mm-dd” date; Note : Date format will be corrected by the tool in the output file.
R015	Field validation failed on "ActionReason" Achievement Record field.	Check/correct Action Reason in Achievement Record field.
R016	Field validation failed on "MIS Identifier" Achievement Record field.	Check/correct MIS Identifier in Achievement Record field.

For a list of Prohibited text refer to Preparing an achievement batch file document available from the website

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